Department

of the Treasury

MANAGEMENT
SYSTEM

FILES & RECORDS

Bureau of Customs

OUTLINE

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I. BASIC PRINCIPLES

OF

SOUND RECORDS MANAGEMENT

A. Control Creation of Records

- file classification categories

- file breaks

- file codes

B. Use Records Efficiently

- file index

C. Improve and Simplify Records Systems

- glossary of terms

- document procedural guidance

D.

Insure Systematic {Preservation, Storage, Retrieval, Disposal} of Records
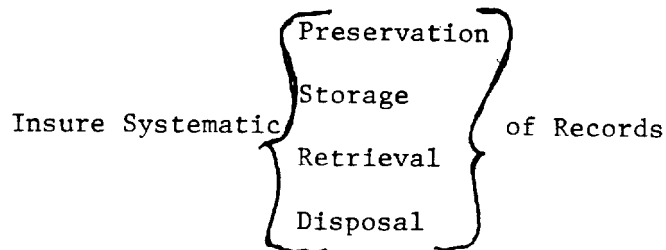
E. Control Selection and Use of Records Equipment

- standards

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II. RECORDS MANAGEMENT CHARACTERISTICS

A. Inventory —————┐
                      |
B. Inventory Review——┘

C. Set Standards———————┐
                         |
D. Control ——————————————┘

E. Operational Service ——┐
                          |
F. Technical Service ——————┘

G. Promote and Stimulate—┐
                          |
H. Test and Research ——————┘

I. Audit and Survey

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III. CUSTOMS FILES AND RECORDS PROBLEMS

A. ABSENCE of a servicewide system

    1. FILING: - random, uncoordinated, overlapping, inconsistent file

                  breaks/codes

    2. STORAGE: - old equipment

                  - haphazard storage based on convenience, not retrieval

                  needs

    3. RETRIEVAL: - difficult to locate records

                  - need for excessive screening

                  - duplicate retention

                  - incomplete story at one location

    4. DISPOSAL: - retention of nonrecord material

                  - disposal authority not always used on timely basis

                  - retention periods needlessly long

                  - unscheduled records; i. e., ADP

                  - increasing accumulation of records

                  - outdated disposition schedule

                        - too many "RETAIN" items

                        - not based on current inventory of records

                        - no identification of retention at FRC's

B. COMPOUNDING Difficulties

    - new programs (drugs, sky marshal)

    - increasing workload

    - new personnel (40% in 7 years)

    - increasing research

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- physical moves to new buildings (higher cost of records storage)

C. Continuing <u>NEED</u> for a Servicewide System to Provide for:

- standardized filing

- simplified filing retrieval

- timely records disposition (transportation and destruction)

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IV. SYSTEM OBJECTIVES AND BUREAU COMMITMENT

A. OBJECTIVES

- standardized

- servicewide

- coordinated

- centralized control

- decentralized maintenance over system

- integrated system elements as independent units (manuals)

B. COMMITMENT

- full-time effort

- priority designation

- separation of system development and maintenance

V. SYSTEM PRODUCTS

- Manual of Instructions

- Uniform Filing Guide

- Records Control Manual (with KWIC Index)

- Subject Index

- Filing Retrieval Network (?)

    - offices of record

    - file stations

    - file locater services

    - file directories/indices

    - decentralized filing

VI. **PRIORITY PRODUCT: RECORDS DISPOSITION PROGRAM**

Effective Records Disposition Program requires that the Records Manager:

Plan
- Inventory
- Match Inventory and Schedules
- Check General Records Schedules
- Complete Schedule Coverage
- Clarify Scheduled Items

Refine
- Select Vital Records
- Identify Site Audit Records
- Plan File Breaks
- Determine Transfer Dates
- Publish Comprehensive Schedules

Simplify
- Reduce Retain Items
- Shorten Retention Periods
- Separate Temporary and Permanent Records
- Avoid Screening
- Prevent Unneeded Filing

Apply
- Eliminate Nonrecord Material
- Use Disposal Authority Promptly
- Transfer to Records Centers
- Review Equipment Requests/Purchases
- Refer to Schedule

Control System

Train Personnel

Maintain Files and Records Management System Elements to <u>SAVE</u>:

Records	Equipment	Space	Time
Valuable records are identified and preserved.	Fewer equipment purchases are required.	Unneeded material is removed from office.	Files are located easier.

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VII. RECORDS CONTROL MANUAL (RCM) ELEMENTS

Directive (Bureau Circular)

Table of Contents

Introduction

> - Definitions
>
> - Procedures
>
>> - how to use schedule
>>
>> - how to update schedule
>
> - Bureau Schedule
>
> - General Records Schedules
>
> - KWIC Index
>
> - References

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VIII. <u>RCM DESIGN FEATURES</u>

Reduced need for interpretation

Expanded coverage

Improved application to records not specifically cited

Simplified updating

Improved records disposal research tool

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EXPLANATION OF SAMPLE

FORMAT (RCM SCHEDULE)

- Based on <u>primary</u> and <u>secondary</u> <u>categories</u> of existing Circular Letter

    System

- <u>Coverage</u> statements: to identify categories of records

- <u>Record Items</u> (existing) with application to records not cited

- <u>Records</u> - <u>numerically</u> identified in <u>alphabetical</u> order: to simplify

    changes

- <u>Columns</u>

    - Record Retention Value Codes

        - Permanent

        - Temporary

        - Nonrecord Material

    - Form Number

    - Retention at Location

        - years, months

        - event/action

    - Disposition Code

        - Destroy

        - Transfer to FRC

        - Other

    - Retention at FRC

        - years

        - event

    Disposition at FRC

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- Flexible Format for Updating Purposes

    - Loose-Leaf, numbered pages

    - One secondary category per page

    - Pre-punched

    - Divider tab sheets

EXPLANATION OF SAMPLE FORMAT

(KWIC INDEX)

KWIC (Key Word In Context) Index -

Purpose: To locate record items and their retention periods in RCM

       schedule

- Alphabetical Subject listing

- Each Key Word refers to same categories/item no./page no.

- Record Items listed under two categories show second reference

   in parentheses.

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PRIMARY CATEGORY   PRI

1 General

COVERAGE:	Descriptive definition of subject matter of the records included within this secondary category.

RECORD RETENTION VALUES & RETENTION VALUE CODES:	DISPOSITION CODES:
·NON-RECORD MATERIAL (NR) ·TEMPROARY RECORD VALUE (T) ·PERMANENT RECORD VALUE (P)	-DESTROY (D) -TRANSFER TO FRC (TR) -OTHER (O)

ITEM NO.	RECORD DESCRIPTION	V A L U E / C O D E	FORM NO.	RETENTION AT LOCATION	D I S P O S / C O D E	RETENTION AT FRC	D I S P O S / C O D E
1	Actual Subject/Title	T	CF 0000	2 years	D		
2	Another Title	T	CF 00000	3 years *	TR	5 years	D
3	Drafts/informal work paper	NR		NONE	D		
4	One more Title	P		3 years **	TR	RETAIN	
5	Title of material	T		6 months	D		

SAMPLE

* Subject to site audit before disposal.   PAGE XXX
** Item is obsolete but has record value for the time indicated.
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AUTOMATIC DATA PROCESSING

ADP

2 ADP Systems, Programs, Procedures, Operations

COVERAGE: Includes material on systems standardization and specification: program management for conversion to electrical machine operations; test data/magnetic tape library control/installation procedures; and utilization/maintenance of ADP equipment.

RECORD RETENTION VALUES & RETENTION VALUE CODES:		DISPOSITION CODES:	
-NON-RECORD MATERIAL (NR)		-DESTROY (D)	
-TEMPROARY RECORD VALUE (T)		-TRANSFER TO FRC (TR)	
-PERMANENT RECORD VALUE (P)		-OTHER (O)	

ITEM NO.	RECORD DESCRIPTION	VALUE CODE	FORM NO.	RETENTION AT LOCATION	DISPOS CODE	RETENTION AT FRC	DISPOS CODE
1	Application Program Manuals	T		Until system terminates	D		
2	Accountability Inventory of ADPE Supplies and Requirements for Cards, Paper and Magnetic Tape Reel	T		1 year	D		
3	ADPE Equipment Accountability Documents	T		Until 2 years after equipment is discontinued	D		
4	Data Systems Planning	P		RETAIN			
5	Machine Use, Nonuse, Maintenance Cards/Forms	T		3 years	D		
6	Magnetic Tape Library Control (Transaction) Records	T		Until 4th update cycle is created	D		
7	Monthly Summary of Cost and Utilization Reports (card decks, magnetic tape files, and machine listings)	T		3 years	D		
8	Program Management Records	P		RETAIN			
9	Standardization of Data Elements and Codes	T		Until obsolete	D		
10	System Test Documents	T		1 year	D		

SAMPLE

PAGE_____

14A

COVERAGE: Includes record copies of publications and directives, i.e., operating procedures/policy manuals/regulations/decisions/hearings/digests/price lists/ other agency clearances. (Also see GRS 16.)

RECORD RETENTION VALUES & RETENTION VALUE CODES:		DISPOSITION CODES:	
-NON-RECORD MATERIAL (NR)		-DESTROY (D)	
-TEMPROARY RECORD VALUE (T)		-TRANSFER TO FRC (TR)	
-PERMANENT RECORD VALUE (P)		-OTHER (O)	

ITEM NO.	RECORD DESCRIPTION	VALUE CODE	FORM NO.	RETENTION AT LOCATION	DISPOS CODE	RETENTION AT FRC	DISPOS CODE
1	Accounting Machine Manual						
	--Record Copy	T		UNTIL OBSOLETE	D		
	--Files Documenting Amendments	T		2 years	D		
	--Superseded Editions	NR		NONE	D		
2	Annual Report of the Bureau of Customs to the Secretary of the Treasury	P		2 years	TR	RETAIN	
3	Accounting System Policy Manual						
	--Record Copy	T		UNTIL OBSOLETE	D		
	--Files Documenting Amendments	T		2 years	D		
	--Superseded Editions	NR		NONE	D		
4	Auditor's Manual						
	--Record Copy	T		UNTIL OBSOLETE	D		
	--Files Documenting Amendments	T		2 years	D		
	--Superseded Editions	NR		NONE	D		
5	Cash Receipt Manual						
	--Record Copy	T		UNTIL OBSOLETE	D		
	--Files Documenting Amendments	T		2 years	D		
	--Superseded Editions	NR		NONE	D		
6	Catalogue of Customs Forms						
	--Record Copy	P		RETAIN			
	--Files Documenting Amendments	T		5 years	TR	3 years	
	--Superseded Editions	NR		NONE	D		

SAMPLE

ENTRY OF MERCHANDISE

ENT

7 Warehouse Entries and Withdrawals

COVERAGE: Includes material on the requirements and procedures relating to the entry of merchandise into warehouse without payment of duty, and the withdrawal of merchandise for consumption, exportation or rewarehousing.

RECORD RETENTION VALUES & RETENTION VALUE CODES:	DISPOSITION CODES:
-NON-RECORD MATERIAL (NR) -TEMPORARY RECORD VALUE (T) -PERMANENT RECORD VALUE (P)	-DESTROY (D) -TRANSFER TO FRC (TR) -OTHER (O)

ITEM NO.	RECORD DESCRIPTION	VALUE CODE	FORM NO.	RETENTION AT LOCATION	DISPOS CODE	RETENTION AT FRC	DISPOS CODE
1	Combined Rewarehouse Entry and Withdrawal for Consumption, and Permit	T	CF 7519	3 years*	D		
2	Duty Paid Warehouse Withdrawal for Consumption (PERMIT)	T	CF 7505-A	3 years*	D		
3	Entry for Bonded Manufacturing Warehouse and Permit	T	CF 7521	3 years*	D		
4	Order to Release Merchandise on Order of the Warehouse Proprietor	T	CF 7505-B	3 years	D		
5	Record of Goods Entered in Bond (Warehouse Entry)	T	CF 5153	3 years* **	D		
6	Warehouse or Rewarehouse Entry (N. Y. and Chicago)	T	CF 7502 CF 7502-B	2 years*	TR	6 years	D
7	Warehouse or Rewarehouse Entry (All Others)	T	CF 7502 CF 7502-B	3 years*	D		
8	Warehouse or Rewarehouse Entry (PERMIT)	T	CF 7502-A CF 7502-C	3 years*	D		
9	Warehouse Withdrawal Conditionally Free of Duty, and Permit	T	CF 7506	3 years*	D		
10	Warehouse Withdrawal for Consumption - Duty Paid	T	CF 7505	3 years*	D		

*   Subject to site audit before disposal.

** Item is obsolete but has record value for the time indicated.

PAGE _____

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Subject	Category		Item No.	Page No.
	Primary	Secondary		
Address Lists and Directory Information	ADM	2	1	19
Annual Summary of Records Holdings	ADM	4	1	21
Auditor's Manual	ADM	9	4	26
Baggage Declarations, Dutiable	BAG	1	1	54
Budget System Reports	ADP	3	2	31
Consumption Entry Permit *	ENT	3	4	96
Data Systems Planning	ADP	2	4	30
Drawback Entry for Taxpaid Alcohol	DRA	2	9	85
Entry Permit, Consumption *	ENT	3	4	96
— — — — — — — — — —	— —	— — —	— —	— —
Permit - Consumption Entry *	ENT	3	4	96

SAMPLE

* Example of Key Word In Context Indexing

ALPHABETICAL SUBJECT INDEX

Note: The symbol(G) denotes a "General Only" primary category which should
not be used for material that may be classified under a more specific
category. The word "See" indicates that the subject category is fur-
ther subdivided. In such cases, consult the subject outline to ob-
tain the precise file code designation.

SUBJECT   FILED UNDER

Accidents:

    Employee------------------------------------ PERSONNEL 4
    Vehicle------------------------------------- FACILITIES 1

Allotments-------------------------------------- BUDGET 2

Annual leave------------------------------------ PERSONNEL 6

Appointments:

    Committee members----------------------(G) PERSONNEL 1
    Personnel----------------------------------- PERSONNEL 11

Cable facilities-------------------------------- FACILITIES 3

Leave------------------------------------See PERSONNEL 6

Longevity pay increases--------------------- PERSONNEL 14

Property--------------------------------------See FACILITIES

    Accountable (real and personal)---------- FACILITIES 4/9
    Damage (vehicles)------------------------- FACILITIES 1
    Procurement of--------------------------- FACILITIES 8

Receipts-- FISCAL 4

Records-----------------------------------See ADMINISTRATIVE 4
    Personnel----------------------------------- PERSONNEL 10
    Property------------------------------------ FACILITIES 4/9

Safety-- FACILITIES 11

SAMPLE

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IX. DEVELOPMENT OF RCM

A. PREPARATION

1. '69 Complete   Inventory of Records

2. '72 Selective Inventory (update)

3. Matched Inventory vs. current schedule - in context of classifi-
cation scheme

B. RESEARCH AIDS

1. Forms Catalog (Customs) ⎤ forms
2. Other Agency Forms (informal lists) ⎦ inventory

3. Reports Manual --- reports inventory

4. Directives Manual (Circular Letter Manual)

5. Correspondence Manual

6. Customs Manual

7. Customs Regulations

8. Inspector's Manual

9. General Records Schedules

10. Draft GRS 20 (ADP)

11. GAO Schedule

12. GSA Handbooks

C. DEVELOPMENT

1. Clarified Scheduled Items

- described "general" categories

- listed records by title

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          – identified retention at location

          – noted type of disposition

          – identified retention at FRC

          – indicated transfer dates

2. Identified Site Audit Records (*)

3. Reduced "Retain" Items

          – discussions with auditor personnel

          – "proofs" for retention periods

                – i.e., actual legal, fiscal, administrative

4. Shortened Retention Periods

5. Separated Temporary and Permanent

          – temporary = disposable

          – permanent = keep forever

6. Eliminated Nonrecord Material

          – no retention

          – emphasis via training

7. Indicated where Vital Records are listed – not in RCM –

            Reason: – too voluminous

                     – need to know

D. PROCEDURE

1. Bureau Headquarters/Field offices

             – review

             – comments

2. Treasury

     GAO   concurrent informal review/comments

     NARS

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3. Finalize RCM based on comments

4. Procure loose-leaf binders

5. Submit to Commissioner for approval

6. Obtain concurrent GAO/NARS approvals

7. Print/Proof/Distribute

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X. RELATION OF RCM TO FILES AND RECORDS MANAGEMENT SYSTEM/OTHER SYSTEMS

A. Complements Directives System

B. Strengthens Uniform Filing

   - standardizes filing classification categories

   - encourages application through standardized disposition

     procedures

C. Developed concurrently with UFG (Uniform Filing Guide)

   - expands classification scheme to tertiary level

   - use of "coverage" paragraphs for both RCM and UFG

   - aids control/retrieval of correspondence

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XI. ANTICIPATED PROBLEMS

A. WORK - EFFORT PROBLEMS

1. Full-time

2. Separate development from upkeep of system

3. Long-term project (reviews, approvals and printing)

4. Typing assistance

B. RCM DESIGN PROBLEMS

1. Must restrict use of "General" category

2. RCM categories vary slightly from those of UFG (example: INV and EXP)

3. Alphabetical arrangement may be limiting

4. Coverage statements may need improvement

5. Retention periods may be subject to some changes

6. Disposal - timely disposal must be ACTIVELY encouraged

7. RCM does not provide for file breaks (Manual of Instructions will)

8. Use of cut-off dates should reduce need for screening

9. Number of changes to be made to RCM - to be determined based on need

10. KWIC Index is a research tool only, not a panacea; can be expanded

C. GENERAL PROBLEMS

1. Confusion likely in converting from current practices to standardized system

2. Some resistance may occur to idea of change

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3. Continuity of Training Program

- funds

- manpower effort

- participation

XII. IMPLEMENTATION AND MAINTENANCE

A. TRAINING PHASES

1. Brief office heads and records officers

   - Management Analysis

   - Records Management

   - Facilities Management

2. Training of Working level personnel

B. MAINTENANCE

1. Assignment of Responsibilities

   - Management Analysis: overview
     improvements
     direction
     test and research direction

   - Facilities Management: operational/technical services

2. Chain of Authority - designated

   - to control (through Audit and Survey/Services)

   - to promote and stimulate (through training)

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XIII. BENEFITS AND IMPROVEMENTS OF FILES AND RECORDS MANAGEMENT SYSTEM

A. RCM

   1. Will update old Disposal Manual

   2. Will lead to savings in storage areas

   3. Will require less interpretation of disposition requirements

   4. Will simplify updating

   5. Will strengthen Directives System

   6. Will ease implementation of UFG

B. UFG

   1. Standardizes filing

   2. Simplifies filing retrieval

C. SYSTEM: Instructional Manual/RCM/UFG/Index

   1. Provides one servicewide approach

   2. Provides uniform controls over creation, filing, retrieval, storage retention, and disposal of records

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